



PTO/SB/08a (11-08)

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Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet	1	of	2
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**Complete if Known**

Application Number	09/819,304
Filing Date	March 28, 2001
First Named Inventor	McIntyre Jr., et al.
Art Unit	3624
Examiner Name	N. VIG
Attorney Docket Number	80-20688946 (formerly 6208-18)

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> *Number <sup>4</sup> *Kind Code <sup>5</sup> (if known)	MM-DD-YYYY			
		WO 98/54666	12-03-98	Algorithmics Inc.		
		JP 2002-500789	01-08-02	Algorithmics Inc.		✓
		WO 99/5073	10-07-99	Richard Michaud		
		JP 2002-510092	04-02-02	Richard Michaud		✓
		JP 10-275177	10-13-98	NRI & NCC Co. Ltd.		✓
		JP 06-052174	02-25-94	Cantor Fitzgerald		✓

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2	of 2	Attorney Docket Number	80-20688946 (formerly 6208-18)

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		The Pension Investment Council, The Chuo Mitsui Trust and Banking Company, Limited, "Passive Core Strategy", Toyo Keizai Inc., issued on February 13, 2001	
		JPO Official Notice of Rejection mailed on August 1, 2008 including English language translation	✓

Examiner Signature	Date Considered
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